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PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| | | |
|--|------------------------|--------------------------|
| TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i> | Application Number | 09/297,289 |
| | Filing Date | April 28, 1999 |
| | First Named Inventor | Masatoshi MOTEKI, et al. |
| | Group Art Unit | 2859 |
| | Examiner Name | B. Roskoski |
| Total Number of Pages in This Submission | Attorney Docket Number | 551512/0058 |

| ENCLOSURES (check all that apply) | | |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard; |
| <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) | <div>Remarks</div> <p>IDS includes PTO-1449 and one reference.</p> | |
| <input checked="" type="checkbox"/> Extension of Time Request | | |
| <input type="checkbox"/> Express Abandonment Request | | |
| <input checked="" type="checkbox"/> Information Disclosure Statement | | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | | |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application | | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|--|
| Firm or Individual name | Lawrence Rosenthal, Reg. No. 24,377 Stroock & Stroock & Lavan LLP |
| Signature | |
| Date | October 30, 2001 |

| CERTIFICATE OF MAILING | | | |
|--|--------------------|------|------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: October 30, 2001 | | | |
| Typed or printed name | David L. Schaeffer | | |
| Signature | | Date | October 30, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 1784.00

Complete if Known

| | |
|----------------------|--------------------------|
| Application Number | 09/297,289 |
| Filing Date | April 28, 1999 |
| First Named Inventor | Masatoshi MOTEKI, et al. |
| Examiner Name | B. Roskoski |
| Group Art Unit | 2859 |
| Attorney Docket No. | 551512/0058 |

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 19-4709
Deposit Account Name: Stroock & Stroock & Lavan LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Code | Small Entity Code | Fee (\$) | Fee (\$) | Fee Description | Fee Paid |
|-------------------|-------------------|----------|----------|------------------------|----------|
| 101 | 710 | 201 | 355 | Utility filing fee | |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims: 47
Independent Claims: 12
Multiple Dependent: ☐

Extra Claims: 10
Fee from below: \$18
Fee Paid: \$180

Extra Claims: 6
Fee from below: \$84
Fee Paid: \$504

| Large Entity Code | Small Entity Code | Fee (\$) | Fee (\$) | Fee Description |
|-------------------|-------------------|----------|----------|--|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 684.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Code | Small Entity Code | Fee (\$) | Fee (\$) | Fee Description |
|-------------------|-------------------|----------|----------|--|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet |
| 139 | 130 | 139 | 130 | Non-English specification |
| 147 | 2,520 | 147 | 2,520 | For filing a request for <i>ex parte</i> reexamination |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action |
| 115 | 110 | 215 | 55 | Extension for reply within first month |
| 116 | 390 | 216 | 195 | Extension for reply within second month |
| 117 | 890 | 217 | 445 | Extension for reply within third month |
| 118 | 1,390 | 218 | 695 | Extension for reply within fourth month |
| 128 | 1,890 | 228 | 945 | Extension for reply within fifth month |
| 119 | 310 | 219 | 155 | Notice of Appeal |
| 120 | 310 | 220 | 155 | Filing a brief in support of an appeal |
| 121 | 270 | 221 | 135 | Request for oral hearing |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable |
| 141 | 1,240 | 241 | 620 | Petition to revive - unintentional |
| 142 | 1,240 | 242 | 620 | Utility issue fee (or reissue) |
| 143 | 440 | 243 | 220 | Design issue fee |
| 144 | 600 | 244 | 300 | Plant issue fee |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner |
| 123 | 50 | 123 | 50 | Processing fee under 37 CFR 1.17(q) |
| 126 | 180 | 126 | 180 | Submission of Information Disclosure Stmt |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) |
| 146 | 710 | 246 | 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) |
| 149 | 710 | 249 | 355 | For each additional invention to be examined (37 CFR § 1.129(b)) |
| 179 | 710 | 279 | 355 | Request for Continued Examination (RCE) |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 1100.00

SUBMITTED BY

| | | | | | |
|-------------------|--------------------|-----------------------------------|------------------|-----------|----------------|
| Name (Print/Type) | Lawrence Rosenthal | Registration No. (Attorney/Agent) | 24,377 | Telephone | (212) 806-5400 |
| Signature | | Date | October 30, 2001 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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